

FORM PTO-1396
(REV. 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

9192.9USWO

U.S. APPLICATION NO. (If known, see 37 CFR 1.51)

Unknown 09/254529

INTERNATIONAL APPLICATION NO.

PCT/GB97/02859

INTERNATIONAL FILING DATE

October 17, 1997

PRIORITY DATE CLAIMED

October 17, 1996

TITLE OF INVENTION

RETROVIRAL VECTORS

APPLICANT(S) FOR DO/EO/US

Susan KINGSMAN et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An UNSIGNED oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: International Search Report, Form PCT/RO/101, Form PCT/ISA 220, Form PCT/IPEA 408, Response to written opinion dated November 9, 1998; Form PCT/IPEA 416, Information Disclosure Statement, PTO Form 1449, and copies of cited references (5)

U.S. APPLICATION NO. (if known, see 37 CFR 1.53) Unknown		INTERNATIONAL APPLICATION NO. PCT/GB97/02859		ATTORNEY'S DOCKET NUMBER 919 SWO	
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17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): Search Report has been prepared by the EPO or JPO.....\$840.00 International preliminary examination fee paid to U.S. Patent and Trademark Office (37 CFR 1.492(a)(1)).....\$670.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$760.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO.....\$970.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$96.00				CALCULATIONS PTO USE ONLY	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$840.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	16 -20 =	0	X \$18.00	\$0.00	
Independent claims	1 -3 =	0	X \$78.00	\$0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			- \$260.00	\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$840.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$0.00	
SUBTOTAL =				\$840.00	
Processing fee of \$130.00 for furnishing the English translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	
TOTAL NATIONAL FEE =				\$840.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$0.00	
TOTAL FEES ENCLOSED =				\$840.00	
				Amount to be: refunded \$	
				charged \$	

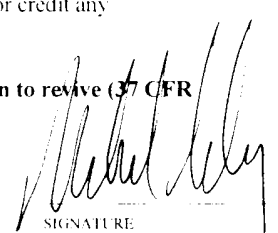
a. ☒ Check(s) in the amount of \$840.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 13-2725.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
 Michael B. Lasky
 MERCHANT & GOULD
 3100 Norwest Center
 90 South Seventh Street
 Minneapolis, MN 55403


 SIGNATURE

Michael B. Lasky
 NAME

29,555
 REGISTRATION NUMBER

09/254529

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Susan KINGSMAN et al.
 Docket: 9192.9USWO
 Title: RETROVIRAL VECTORS

306 MAR 1999 08 MAR 1999

CERTIFICATE UNDER 37 CFR 1.10

Express Mail[®] mailing label number: EL176166025US

Date of Deposit: March 8, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service Express Mail Post Office To Addressee[®] service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: 

Name: Tim Zust

BOX PATENT APPLICATION
 Assistant Commissioner for Patents
 Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 23 pgs; 16 claims; Abstract 1 pgs.
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 6 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$840.00 to cover the Filing Fee
- ☒ Other: Preliminary Amendment, Form PTO-1390 (Transmittal Letter to Designated Office), International Search Report, Information Disclosure Statement, PTO Form 1449, copies of cited references (5), Form PCT/RO/101, Form PCT/IPEA/ISA/220, Form PCT/IPEA/408, Reponse to written opinion, and Form PCT/IPEA/416
- ☐ Return postcard

CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$840.00.00
Total Claims								
16	-	20	=	0	x	0.00	=	\$0.00
Independent Claims								
1	-	3	=	0	x	0.00	=	\$0.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$840.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT, GOULD, SMITH, EDELL,
 WELTER & SCHMIDT
 3100 Norwest Center, Minneapolis, MN 55402
 (612) 332-5300

By: 

Name: Michael B. Lasky
 Reg. No.: 29,555
 Initials: MBL/kcd